

# **Business Rules for the Permitting Data Standard**

United States Environmental Protection Agency  
Office of Environmental Information  
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Washington, DC 20460

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## EXECUTIVE SUMMARY

*Data Standard:*

**Permitting**

*Description:*

The key data elements necessary for the constitute consistent and unambiguous identification of information pertaining to permits of interest to the Environmental Protection Agency (EPA) and its partners.

*Requirements:*

1. Agency information systems or collection requests that exchange permit information must at a minimum, include a Permit Name or Permit Number/Identifier, Name of Issuing Organization, and Permit Type data elements.
2. Agency information systems or collection requests that exchange permit information must conform to the standard if these systems or collections request, store, or exchange permit information.

*Implementation  
Date:*

Applicable Systems: December 31, 2004.  
All other systems: As part of normal reengineering schedule.

*Waiver Process:*

Request to CIO.

*More Information:*

Standard Data Elements for Permitting  
<http://www.epa.gov/edr/fpermitting.pdf>

Business Rules for the Permitting Data Standard  
<http://www.epa.gov/edr/fpermittingbr.pdf>

## PERMITTING DATA STANDARD BUSINESS RULES

### 1. THE STANDARD

- a. The Standard specifies the key data elements necessary for the consistent and unambiguous identification of information pertaining to permits of interest to the Environmental Protection Agency (EPA) and its information exchange partners.
- b. The purpose of the standard is to ensure the uniformity and comparability of information resulting from the identification of permits in the collection, analysis, and exchange of permit environmental data.
- c. The standard consists of a list of data elements, each of which is defined, and relationships or linkages between data elements within the standard and with other Agency standards.
- d. The standard data elements and their definitions are presented in Appendixes A and B and are recorded in EPA's Environmental Data Registry (EDR) at <http://www.epa.gov/edr/>.

### 2. DEFINITIONS

- a. The EPA *Environmental Data Registry* (EDR) is the central repository and reference tool for Agency data elements and other documents objects, such as business rules.
- b. The *Environmental Data Standards Council (EDSC)* is a partnership among EPA, States, and Tribal Nations to develop and agree upon data standards for environmental information collection and exchange. The EDSC seeks to promote efficient sharing of environmental information between State, EPA, and Tribal partners providing data standards as a basis for new data exchange and data integration activities.
- c. *Permit* for the purpose of this standard is a permit, authorization, license, or equivalent used to implement the requirements of an environmental regulation.
- d. The *Permitting Data Standard Steward* is the person or organization responsible for monitoring the currency and relevancy of the standard to the Agency.
- e. *Permitting Data Stewards* describe persons or functions at the Program System, Regional, or State levels that are accountable for the overall quality of

permitting data. The Permitting Data Stewards ensure the proper application of the standard and identify and communicate issues to the *Permitting Data Standard Steward* for action.

- f. *Information System Managers* are staff responsible and accountable for management of information systems, both environmental media specific and administrative, which are managed from EPA Headquarters or in offsite locations, e.g., laboratories.

### **3. APPLICABILITY**

- a. The EPA Permitting Data Standard applies to all Agency information systems that exchange permit information with other Agency systems or with partner systems
- b. Modifications to applicable regulations, collection requests, and Federal Register Notices should be made where necessary to implement the standard.
- c. This standard does not apply to retired systems not in use or to EPA documents and publications that were created prior to the adoption of this standard.
- d. The data standard applies to any data exchange between nodes on the EPA network.
- e. EPA encourages State and Tribal partners and stakeholders to adopt this standard. State partners and stakeholders are required to adhere to this standard only when the work plan of the Environmental Performance Partnership Agreement, or the appropriate Grant program agreements, includes mechanisms for adopting the standard, such as Trading Partner Agreements. These agreements are typically reached between the Regional offices or the Program offices and the States or stakeholders.

### **4. DATA REQUIREMENTS**

- a. Agency information systems that exchange permit information must, at a minimum, store these mandatory data elements:

Permit Name or Permit Number/Identifier  
Name of Issuing Organization  
Permit Type

These data elements along with others that are part of the standard, are described in detail in Appendix B.

- b. Managers of Agency information systems must identify permit data elements already contained in their systems and ensure that their data elements conform to the standard data elements.
- c. Agency programs that collect permit identification and tracking information must modify their information collections, i.e., the data fields in their collection forms, whether paper or electronic, to conform to the standard.

## **5. PROCESSING**

- a. Every manager of an information management system to which this standard applies, based on Section 3, must ensure that the system be able to provide the Permit Name or Permit Number/Identifier, Name of Issuing Organization, and Permit Type data elements when permit information is stored in an application system for information exchange.
- b. Data formats for permit identification information received and handled by any exchange mechanism must conform with this standard.

## **6. ROLES AND RESPONSIBILITIES**

- a. The EPA Chief Information Officer (CIO) will:
  - i. Ensure adherence to these business rules and will be responsible for resolving conflicts and issues relating to these business rules, including applicability of the standard and waiver requests.
  - ii. Issue waivers from conformance with this standard in accordance with the procedures identified in Section 8 of these business rules.
- b. EPA's Office of Information Collection (OIC) will:
  - i. Oversee the Agency process and operating procedures to ensure conformance with this standard.
  - ii. Provide guidance and technical assistance to program offices, their

- Regional and State counterparts, and the regulated community in meeting the requirements of this standard.
- iii. Appoint a Permitting Data Standard Steward for the Permitting Data Standard.
  - iv. Report any conflicts to the CIO and resolve those conflicts based on CIO guidance.
- c. EPA Program Senior Information Resources Management Officers (SIRMO) and Regional Information Resource Management (IRM) Branch Chiefs will:
- i. Promote compliance with this standard.
  - ii. Prepare applications from system managers for waivers from this standard and submit them to the CIO.
  - iii. Ensure that new and reengineered systems are designed in conformance with the standard.
- d. Information System Managers will:
- i. Ensure that any applicable data in their information systems conforms with this standard.
  - ii. Work collaboratively with OIC on continuing standards development and implementation.
  - iii. Identify and bring forward potential conflicts between these business rules, the underlying standards, and Program information systems needs.
  - iv. Prepare and submit for approval waiver requests when a standard cannot be implemented in their system.
- e. The Permitting Data Standard Steward, or an authorized delegate, will:
- i. Work in collaboration with data stewards from Regions, States and National systems to develop and maintain permit information of interest to the Agency.
  - ii. Review maintenance changes to the standard made by the EDSC for

Agency implementation based on relevancy to Agency business needs.

- iii. Make the EDSC aware of any Agency concerns relating to this standard.
- f. Program System Data Stewards for permitting will manage permitting data for EPA Program systems.

## **7. IMPLEMENTATION**

- a. Managers of Agency information systems that exchange permit information will implement this permitting data standard no later than December 31, 2004. System managers and Regions will include State partners in the implementation planning process for the standard.
- b. System managers will incorporate this standard into the development cycle of all new and existing Agency information systems where that standard applies (as defined in Section 3).

## **8. PROVISION FOR WAIVER**

- a. The Agency's CIO may grant waivers for sufficient reasons.
- b. Applications for a waiver shall contain:
  - i. An outline of the reasons why all or part of the data standard should not or cannot be implemented.
  - ii. A risk assessment and cost-effectiveness evaluation of continued noncompliant operation, if that operation is mandated by other Agency requirements. OIC will develop guidance for this evaluation.
  - iii. The approval of the application by decision officials in the requesting office, as defined by EPA's Information Resources Management Policy Manual, and by the organization's SIRMO.
- c. The CIO shall notify the applying office in writing of the disposition of the waiver within 60 days of receipt.



**9. MAINTENANCE**

- a. The standard shall be reviewed annually by the EDSC. The Permitting Data Standard Steward shall make the EDSC aware of any Agency concerns relating to the standard.
- b. Any approved changes to the standard and business rules will be regularly updated and published in the EDR by OIC.

**10. REFERENCES**

EPA's Environmental Data Registry (EDR), <http://www.epa.gov/edr/>

## **APPENDIX A**

Mandatory/Optional Standard Data Elements for Permitting

## Mandatory/Optional Standard Data Elements for Permitting

Mandatory Standard Data Elements for Permitting		
This  <b>OR</b> This	Name	Definition
	Permit Name	The name assigned to the permit by a permit issuing/granting organization to identify a permit or permit application.
	Permit Number/Identifier	The alphanumeric identifier assigned to the permit by a permit issuing/granting organization to identify a permit or permit application.

AND

Name	Definition
Name of Issuing Organization	The name of the organization issuing or granting a permit.
Permit Type	The type of permit issued or granted to a regulated entity.

Optional Standard Data Elements for Permitting	
Name	Definition
Permittee	The name of the individual or organization to whom a permit has been issued or granted.
Permit Issuing Organization Type	The type of organization issuing or granting a permit.
Other Permit Number/Identifier	Other alphanumeric identifiers used to identify a permit or permit application.
Other Organization Name	The name of the organization issuing the other permit number/identifier.
Other Permit Number/Identifier Context	A brief description of the other permit number/identifier context
Program Name	The name of the program/jurisdictional authority under which a permit is issued or granted.

<b>Optional Standard Data Elements for Permitting</b>	
<b>Name</b>	<b>Definition</b>
Permitted Feature Identifier	The alphanumeric identifier or name assigned by a permit issuing organization to identify a permitted unit, feature, or process.
Permitted Feature Type	The type of permitted unit, feature, or process represented by an identifier.
Permitted Feature Operating Status	The name of the category describing the operating status of a permitted unit.
Permit/Permitted Feature Administrative or Legal Status	The administrative or legal status of a permit or permitted feature.
Permit Application Completion Date	The calendar date that a permit application was deemed to be complete.
Permit Issue Date	The calendar date that a permit was issued.
Permit Effective Date	The calendar date that a permit becomes effective.
Permit Expiration Date	The calendar date that a permit expires.
Permit Revocation Date	The calendar date that a permit will be or was revoked.
Permit Termination Date	The calendar date that a permit will be or was terminated or surrendered.
Permitted Entity Contact Full Name	The complete name of the contact individual at the permitted entity who is the point of contact for permitting information, including first name, middle name or initial, and surname.
Permitted Entity Contact Telephone Number	The voice telephone number of the person at the permitted entity who is the point of contact for additional permitting information.

## **APPENDIX B**

### **Permitting Data Standard Data Element List**

## Standard Data Elements for Permitting

The EDSC chartered the Permit Data Standard Action Team to identify and define the major areas of permitting information, and to develop a data standard that could be used for the exchange of permitting data among environmental agencies and other entities. The proposed Permit Data Standard presented below is not intended to be a system design or to cover every detail of permitting data that are currently exchanged or managed; instead, it focuses on core information common across most program areas and organizations. The draft standard is not intended to constrain what information an agency chooses to collect, nor does it constitute a reporting requirement. It merely defines a standardized way to organize and exchange key information *if agencies choose to exchange that information*. This State/EPA data standard was approved by the Environmental Data Standards Council on December 20, 2001 and the Agency on April 25, 2002.

This standard is designed to provide simple, high-level information that includes core data - information sufficient to identify a permit, as well as some information on administrative status and history, that is common across most organizations and programs. The standard does not contain more detailed information that is program-specific. Standardization of this program-specific data should be accomplished via the development of program-specific standards (consistent with this overall standard) and/or the development of Data Exchange Templates between information exchange partners.

This standard is inter-related to standards representing other environmental business areas (e.g., Facility Identification Standard) because environmental business areas are inter-related (e.g., facilities have permits, agencies take enforcement actions against organizations who own facilities and permits...). For example, core information about a permit includes facility information (defined in the Facility Identification Standard) and information about chemical and biological parameters (defined in the Chemical and Biological ID standards). Rather than reinvent or duplicate these existing standards, the Team has identified the importance of this information and essentially incorporated it by reference.

Permit action - A “permit” is a permit, authorization, license, or equivalent used to implement the requirements of an environmental regulation. A permit is issued to an individual or organization and typically specifies pollutant discharge limits or operating procedures. A permit may be uniquely identified by the combination of three data elements: 1) Permit Number/Identifier, 2) Name of Issuing Organization, and 3) Permit Type.

The following table contains a draft of the Permit Standard and does not represent a mandatory list of required elements for data exchange between EPA and partners.

Data Element Name	Data Element Definition	Notes	Format
<i>Relationships to External Standards</i>			
<p>A permit may be related to a facility (Facility Data Standard). The association between standards may be through the following data elements: Facility Site Name, Environmental Interest, Facility Owner/Operator (a permissible value for Affiliation Type), Facility Registry Identifier, and State Facility Identifier.</p> <p>A permit may address one or more regulated substances (Chemical Identification and/or Biological Taxonomy Data Standards).</p> <p>A permitted feature may address one or more regulated substances (Chemical Identification and/or Biological Taxonomy Data Standards).</p> <p>A facility may have one or more permits.</p>			
<i>Relationships within the Permitting Data Standard</i>			
<p>A permit may be related to another permit (<i>e.g.</i>, an individual facility coverage may be related to an overarching General Permit).</p> <p>A permit may have one or more permitted features.</p> <p>A permit may be associated with one or more data elements of administrative information (multiple dates may create history).</p> <p>A permit may be associated with one or more permitting contacts.</p> <p>A permitted feature may be associated with one or more data elements of administrative information.</p> <p>A permitted feature identifier may be associated with one of more permitted feature types.</p>			

## Permit Identification Data Elements

### *Definition:*

Identification information about the permit and the organization responsible for issuing or granting the permit.

1	Permit Name	The name assigned to the permit by a permit issuing/granting organization to identify a permit or permit application.	(e.g., Dupont Chamberworks RCRA Treatment Permit). For example, this data element may be associated to Environmental Interest Type in the USEPA Facility Registry System.  At least one of #1 or #2 must be populated.	A(120)
2	Permit Number/Identifier	The alphanumeric identifier assigned to the permit by a permit issuing/granting organization to identify a permit or permit application.	(e.g., 51432)	A(30)
3	Permittee	The name of the individual or organization to whom a permit has been issued or granted.	(e.g., Atofina Chemical Inc.)	A(60)
4	Name of Issuing Organization	The name of the organization issuing or granting a permit.	(e.g., Missouri Department of Natural Resources)	A(200)
5	Permit Issuing Organization Type	The type of organization issuing or granting a permit.	(e.g., Federal, State, Tribal, Regional, County, Municipal)	A(20)
6	Other Permit Number/Identifier	Other alphanumeric identifiers used to identify a permit or permit application.		A(30)



7	Other Organization Name	The name of the organization issuing the other permit number/identifier.		A(60)
8	Other Permit Number/Identifier Context	A brief description of the other permit number/identifier context	(e.g., authorization ID used by Pa DEP for tracking)	A(100)
9	Program Name	The name of the program/jurisdictional authority under which a permit is issued or granted.	<p>The following are representative samples of permissible values:</p> <p>Air Quality  Water Quality/NPDES  Hazardous Waste/RCRA  Underground Injection Control (UIC)  Solid Waste  Mining</p>	A(40)

10	Permit Type	The type of permit issued or granted to a regulated entity.	<p>The following are representative samples of permissible values for Federal and State environmental permit programs. Permissible values are specific to program name.</p> <p>NPDES-Major nonmunicipal - individual  NPDES-Minor nonmunicipal - individual  NPDES-Major municipal - individual  NPDES-Minor municipal - individual  NPDES-General permit  NPDES-General permit coverage - individual facility, major</p>	A(120)
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			NPDES-General permit coverage - individual facility, minor NPDES-No exposure Certification RCRA-Part A RCRA-Part B AIR-General AIR-Title IV (acid rain) AIR-Title V AIR-Synthetic Minor AIR-Minor UIC-Construction UIC-Operation SOLID WASTE- Municipal Land Fill SOLID WASTE-Industrial Land Fill SOLID WASTE-Transfer Station SOLID WASTE-Land Application MINING-Coal Mining Surface Mining Permit MINING-Coal Mining Operators License MINING-Industrial Minerals Mining Activity Permit	
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**Permitted Feature Data Elements***Definition:*

Information about the permitted feature of a permit. A permitted feature is a unit, physical structure, feature, or process described in a permit.

11	Permitted Feature Identifier	The alphanumeric identifier or name assigned by a permit issuing organization to identify a permitted unit, feature, or process.	(e.g., Smith Furnace AV). This data element may be used multiple times to describe multiple features. Each permitted feature identifier should be associated to at least one permitted feature type (See item #12).	A(40)
12	Permitted Feature Type	The type of permitted unit, feature, or process represented by an identifier.	Permissible values may include:  External outfall Internal outfall Lagoon Land application site Incinerator Stack Pumping station Monitoring well Perc pond Landfill Surface impoundment Waste pile Tank Container Boiler and industrial furnace	A(40)
13	Permitted Feature Operating Status	The name of the category describing the operating status of a permitted unit.	Permissible values may include:  Proposed Under construction Constructed, but not yet active	A(40)

			Active/Operating Inactive Clean/Closed Closed in place Not constructed Operating Operating, but not discharging Not operating Seasonal shut down Temporary shut down	
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### Permit Administration Data Elements

#### *Definition:*

Administrative information about the permit.

14	Permit/Permitted Feature Administrative or Legal Status	The administrative or legal status of a permit or permitted feature.	Permissible values may include:  Pending Appealed Denied Active Inactive Expired Extended Withdrawn Revoked Not required	A(20)
15	Permit Application Completion Date	The calendar date that a permit application was deemed to be complete.		D(8) YYYY MMDD
16	Permit Issue Date	The calendar date that a permit was issued.		D(8) YYYY MMDD
17	Permit Effective Date	The calendar date that a permit becomes effective.		D(8) YYYY MMDD
18	Permit Expiration Date	The calendar date that a permit expires.		D(8) YYYY

				MMDD
19	Permit Revocation Date	The calendar date that a permit will be or was revoked.		D(8) YYYY MMDD
20	Permit Termination Date	The calendar date that a permit will be or was terminated or surrendered.		D(8) YYYY MMDD

#### **Permitting Contact Data Elements**

##### *Definition:*

Contact information for the individual responsible for the permit.

21	Permitted Entity Contact Full Name	The complete name of the contact individual at the permitted entity who is the point of contact for permitting information, including first name, middle name or initial, and surname.		A(70)
22	Permitted Entity Contact Telephone Number	The voice telephone number of the person at the permitted entity who is the point of contact for additional permitting information.		A(15)